



Attorney Docket: K1-02US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jan Kuzmik
U.S. Ser.: 10/772,673
Filed: February 5, 2004
Title: HIGH ELECTRON MOBILITY DEVICES

Examiner:
Art Unit: 2811

Commissioner for Patents
US Patent and Trademark Office

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.97 and §1.98

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants submit this Information Disclosure Statement. This Information Disclosure Statement has been filed more than three months after the filing date of this application, but before the mailing date of the first Office Action on the merits; therefore, **no fee is required.**

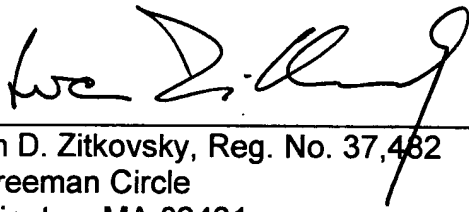
The Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information. The order of presentation of the references should not be construed as an indication of the importance of the references.

This application was filed after June 30, 2004. As published in the Official Gazette on August 5, 2003, the US PTO "waives the requirement under 37 CFR 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003" Therefore, **copies of the cited US patent references do not need to be submitted.** Copies of other references are submitted herewith.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

Applicant believes that ~~no fee is required~~ for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account 502-196.

Respectfully submitted,

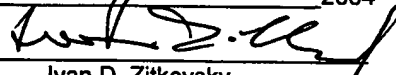


Ivan D. Zitkovsky, Reg. No. 37,482
6 Freeman Circle
Lexington, MA 02421

Tel. +781-274-6692
Fax +781-274-6696

**CERTIFICATE OF MAILING
UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

Aug 4 2004

Ivan D. Zitkovsky



FORM PTO-1449(Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO.: K1-02US1	SERIAL NO.: 10/772,673
	APPLICANT: Jan Kuzmik	
	FILING DATE: February 5, 2004	GROUP:

U.S. PATENT DOCUMENTS

Exam Unit	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
		3,764,865	10/9/73	Napoli et al	257	283	3/17/70
		3,767,984	10/23/73	Shinoda et al	257	268	9/13/72
		3,855,690	12/24/74	Kim et al	438	180	12/26/72
		3,861,024	1/21/75	Napoli et al	438	301	4/12/73
		3,943,622	3/16/76	Kim et al	438	180	10/22/74
		4,030,942	6/21/77	Keenan et al	438	526	10/28/75
		4,075,652	2/21/78	Umebachi et al	257	192	5/5/77
		4,157,556	6/5/79	Decker et al	257	280	1/6/77
		4,163,984	8/7/79	Pucel	257	285	1/27/78
		4,173,764	11/6/79	de Cremoux	257	192	4/4/78
		4,325,181	4/20/82	Yoder	438	180	12/17/80
		4,424,525	1/3/85	Mimura	257	194	12/29/80
		4,593,301	6/3/86	Inata et al	257	194	3/1/85
		4,642,879	2/17/87	Kawata et al	438	174	11/28/83
		4,714,948	12/22/87	Mimura et al	257	194	3/13/86
		4,912,451	3/27/90	Sugiyama et al	338	32	12/29/88
		4,961,194	10/2/90	Kuroda et al	257	192	12/21/89
		4,980,731	12/25/90	Hida	257	192	1/13/90
		5,021,857	6/4/91	Suehiro	257	392	11/29/89
		5,041,393	8/20/91	Ahrens et al	438	172	12/28/88
		5,084,743	1/28/92	Mishra et al	257	487	3/15/90
		5,153,682	10/6/92	Goto et al	257	194	2/25/91
		5,180,681	1/19/93	Mishra et al	438	167	10/22/91
		5,192,987	3/9/93	Khan et al	257	183.1	5/17/91
		5,262,660	11/16/93	Streit et al	257	194	8/1/91
		5,288,654	2/22/94	Kasai et al	438	577	2/8/93
		5,312,765	5/17/94	Kanber	438	59	5/11/93
		5,352,909	10/4/94	Hori	257	76	12/14/92
		5,358,878	10/25/94	Suchet et al	438	172	3/9/92
		5,359,220	10/25/94	Larson et al	257	378	12/22/92
		5,365,080	11/15/94	Yamazaki et al	257	66	2/14/94
		5,411,914	5/2/95	Chen et al	438	167	5/15/92

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant

FORM PTO-1449(Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO.: K1-02US1	SERIAL NO.: 10/772,673
	APPLICANT: Jan Kuzmik	
	FILING DATE: February 5, 2004	GROUP:

U.S. PATENT DOCUMENTS

Exam Unit	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
		5,447,874	9/5/95	Grivna et al	438	174	7/29/94
		5,471,077	11/28/95	Sokolich	257	192	10/10/91
		5,486,705	1/23/96	Inoue et al	257	24	6/9/94
		5,493,136	2/20/96	Matsuzaki et al	257	287	2/17/94
		5,521,403	5/58/96	Usui et al	257	192	4/6/95
		5,521,404	5/28/96	Kikkawa et al	257	194	12/9/94
		5,554,865	9/10/96	Larson	257	275	6/7/95
		5,596,211	1/21/97	Onda et al	257	194	10/18/95
		5,611,955	3/18/97	Barrett et al	252	62.3	10/18/93
		5,652,440	7/29/97	Chang	257	194	9/8/95
		5,668,387	9/16/97	Streit et al	257	192	10/26/97
		5,696,387	12/9/97	Choi et al	257	57	5/58/96
		5,698,900	12/16/97	Bozada et al	257	744	7/22/96
		5,739,558	4/14/98	Ishida et al	257	192	1/21/97
		5,811,843	9/22/98	Yamanamoto et al	257	194	2/24/97
		5,811,844	9/22/98	Kuo et al	257	194	7/3/97
		5,821,825	10/13/98	Kobayashi	331	66	11/26/96
		5,831,277	11/3/98	Razeghi	257	15	3/19/97
		5,834,796	11/10/98	Matsuda et al	257	57	5/24/96
		5,847,414	12/8/98	Harris et al	257	77	8/18/97
		5,856,217	1/5/99	Nguyen et al	438	172	4/10/97
		5,880,491	3/9/99	Soref et al	257	190	1/31/97
		5,900,653	5/4/99	Suzuki et al	257	194	4/15/97
		5,929,467	7/27/99	Kawai et al	257	192	12/3/97
		5,976,920	11/2/99	Nakano et al	438	172	7/22/96
		6,049,091	4/11/00	Yokoyama	257	52	6/30/97
		6,049,097	4/11/00	Hida	257	192	7/24/95
		6,057,566	5/2/00	Heisenbeiser et al	257	194	4/29/98
		6,064,082	5/16/00	Kawai et al	257	192	5/29/98
		6,100,542	8/8/00	Kohara et al	257	20	11/19/97
		6,140,169	10/31/00	Kawai et al	438	197	4/1/99
		6,177,685	1/23/01	Teraguchi et al	257	20	1/20/99
		6,214,678	4/10/01	Docter et al	438	285	5/21/97

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449(Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO.: K1-02US1	SERIAL NO.: 10/772,673
	APPLICANT: Jan Kuzmik	
	FILING DATE: February 5, 2004	GROUP:

U.S. PATENT DOCUMENTS

Exam Unit	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
		6,232,624	5/15/01	Matloubian et al	257	194	7/12/99
		6,242,293	6/5/01	Danzilio	438	172	11/18/98
		6,242,766	6/5/01	Tateno	257	194	11/18/99
		6,316,793	11/13/01	Sheppard et al	257	103	6/12/98
		6,355,951	3/12/02	Hattori	257	280	12/16/99
		6,392,253	5/21/02	Saxena	257	59	8/6/99
		6,429,467	8/6/02	Ando	257	194	1/27/00
		6,444,552	9/3/02	Docter et al	438	542	7/15/99
		6,465,289	10/15/02	Streit et al	438	167	7/1/96
		6,515,316	2/4/03	Wojtowicz et al	257	194	7/4/00
		6,524,899	2/25/03	Grundbacher et al	438	167	9/21/00
		6,531,718	3/11/03	Inoue et al	257	189	1/12/01
		6,583,454	6/24/03	Sheppard et al	257	194	3/29/01
		6,646,293	11/11/03	Emrick et al	257	194	7/18/01
		6,727,531	4/27/04	Redwing et al	257	194	8/7/00
		20010020700	9/13/01	Inoue, et al	257	20	1/12/01

FOREIGN PATENT DOCUMENTS

		Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No	
		JP2000223697	11/8/00	NEC Corp			X	
		JP2001196575	9/13/01				X	
		WO0059084	10/5/00	Matsushita Electric Corporation			X	

OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

			Alekseev, E. and Pavlidis, D. "DC and high-frequency performance of AlGa _N /Ga _N Heterojunction Bipolar Transistors." <u>Solid State Electronics</u> . 44:245-252, 2000.
			Ambacher, O., et. al., "Role of spontaneous and piezoelectric polarization on novel AlGa _N /Ga _N /InGa _N device structures." <u>Physica-Status-Solidi-B</u> . 216(1):381-9, 1999.

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449(Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO.: K1-02US1	SERIAL NO.: 10/772,673
	APPLICANT: Jan Kuzmnik	
	FILING DATE: February 5, 2004	GROUP:

OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

[illegible]

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.